

VIDEO CONFERENCE HANDOUT
COVERING
PHMAP REVISED REGULATIONS

OUTLINE OF PUBLIC HOUSING MANAGEMENT ASSESSMENT PROGRAM

VIDEO CONFERENCE HANDOUT

PHMAP

HISTORY OF PHMAP

The National Affordable Housing Act of 1990

- The National Affordable Housing Act of 1990 (NAHA) established the Public Housing Management Assessment Program (PHMAP) to ensure that public housing functions as a well-managed enterprise on a uniform, nationwide basis.
- The PHMAP program was designed to institute a system of accountability that would help the Department of Housing and Urban Development (HUD) monitor and evaluate management operations of housing authorities nationwide.
- NAHA identified seven criteria that must be assessed under PHMAP. Those are:
 - Vacancy Number and Percentage
 - Modernization
 - Rents Uncollected
 - Energy Consumption
 - Vacant Unit Turnaround
 - Work Orders Outstanding
 - Annual Inspection and Condition of Units and Systems

NAHA 1990

Major Highlights of the PHMAP Program

- HAs were first required to certify PHMAP data in 1992 after the January 17, 1992 publication of an Interim Rule.

Background to the Revised Rule

- The revised rule attempts to streamline the certification process by reducing the number of indicators from 12 to eight and by providing standard definitions for critical terms. HUD has tried to limit PHMAP to the essential aspects of HA management and to design it to better reflect performance in those areas.
- The revised rule was developed with significant input from HAs working on committees with HUD staff and through publication in May 1996 of a proposed revision to the rule. HUD gave careful consideration to the 87 letters, which contained hundreds of comments, received in response to the revised rule.

HISTORY

REVISED RULE

INPUT FROM HA'S
AND
COMMENTS

Implementation of the New Interim Rule

- Implementation of the new Interim Rule is first applicable to those HAs whose fiscal years end March 31, 1997.
- HAs are required to submit certification of PHMAP data within 60 days after the end of the fiscal year. Therefore, HAs with fiscal years ending March 31, 1997 will be required to submit certifications by May 30, 1997.
- HUD state and area offices are required to complete the assessment and notify each HA of its grade and the status and grade of any Resident Management Corporation (RMC) within an additional 60 days.
- HUD has made every effort to ensure that PHMAP provides opportunities for HAs to report and receive adjustments for special conditions that affect scoring. PHMAP is not viewed by HUD as the sole measure of a HA's overall performance.

IMPLEMENTATION

- Used well, PHMAP is an effective management tool to identify and address management problems.

Overview of the Revised Interim Rule

- The major changes in the new rule are:
 - The previous 12 indicators have been reduced to the following eight:
 - Vacancy Rate/Unit Turnaround
 - Modernization
 - Rents Uncollected
 - Work Orders
 - Annual Inspection of Units & Systems
 - Financial Management
 - Resident Services & Community Building
 - Security
 - The rule seeks to streamline the PHMAP process by focusing on the most significant management aspects of HA management.
 - Vacancy Rate and Unit Turnaround (previously Indicators 1 and 5) have been combined. HAs scoring a C or above in the vacancy component will not be assessed under vacancy turnaround time.
 - The indicators for Tenant Accounts Receivable, Routine Operating Expenses and Development have been eliminated.
 - Indicator 7, Resident Services and Community Building, now has 4 components.
 - An indicator to assess Security and implementation of the "one strike" policy has been added as Indicator 8.
 - The rule now specifically addresses how PHMAP applies to Alternate Management Entities (AMEs) and Resident Management Corporations (RMCs).

HISTORY

OVERVIEW

12
TO
8

STREAMLINING

- For HAs with 100 or more units, a confirmatory review is required:
 - before they are designated as troubled/mod-troubled,
 - annually, if so designated, and
 - prior to removal of those designations.
- To attain high performer status an agency cannot score below a C on any indicator . Similarly, to be designated a high performer in Modernization, the HA shall have a total overall PHMAP score of 90 % or greater on indicator 2.

HISTORY (CONT'D)

PHMAP AT A GLANCE

| INDICATOR NUMBER | WEIGHT | DESCRIPTION |
|---------------------|--------|---|
| 1. | 2 | <p><i>Vacancy Rate and Unit Turnaround Time - 2 Components</i></p> <p>Component 1: Vacancy % and Progress Grade A: Actual rate of 3% or less or adjusted rate of 2% or less. Grade F: Actual rate greater than 10% or adjusted rate greater than 7% or adjusted rate greater than 6% but less than or equal to 7% and progress has been 4% or less.</p> <p>Component 2: Unit Turnaround Time (only completed if score for Component 1 is below a C) Grade A: Less than or equal to 20 days. Grade F: Greater than 50 days.</p> |
| 2. | 1.5 | <p><i>Modernization - 5 Components</i></p> <p>Component 1: Unexpended funds over 3 FFYs old Component 2: Timeliness of fund obligation Component 3: Contract administration Component 4: Quality of physical work Component 5: Budget controls</p> |
| 3. | 1.5 | <p><i>Rents Uncollected</i></p> <p>Grade A: 2% or less. Grade F: Greater than 10%.</p> |
| 4. | 1 | <p><i>Work Orders - 2 Components</i></p> <p>Component 1: Emergency Work Orders Grade A: At least 99% completed. Grade F: Less than 95% completed.</p> <p>Component 2: Non-emergency Work Orders Grade A: All within 25 days. Grade F: Greater than 60 days or HA has not reduced time by at least 5 days during past three years.</p> |
| 5. | 1 | <p><i>Annual Inspection of Units and Systems - 2 Components</i></p> <p>Component 1: Annual Inspection of Units Grade A: 100% inspected and HA completed repairs. Grade F: Less than 90% inspected and HA failed to complete repairs.</p> <p>Component 2: Annual Inspection of Systems Grade A: Inspected 100%, made repairs or took action to repair. Grade F: Inspected less than 60% or did not repair or take action to repair.</p> |
| 6. | 1 | <p><i>Financial Management - 2 Components</i></p> <p>Component 1: Cash Reserves Grade A: Greater than or equal to 15% of total routine expenditures. Grade F: Less than 5%.</p> <p>Component 2 (only if score for Component 1 is less than C): Energy Consumption Option A - Annual energy/utility consumption expenses. Grade A: Expenses have not increased. Grade F: Expenses have increased by more than 9%.</p> <p>Option B - Energy Audit Grade A: Completed or updated within 5 years and implemented cost effective recommendations. Grade F: Not completed or updated or no implementation plan or not on schedule or has not implemented all cost effective recommendations.</p> |

| INDICATOR NUMBER | WEIGHT | DESCRIPTION |
|------------------|--------|---|
| 7. | 1 | <p><i>Resident Services and Community Building - 4 Components</i></p> <p>Component 1: Economic Lift Grade A: Board has adopted one or more programs and HA can document implementation in developments covering 90% of family occupied units. Grade F: Board has not adopted or HA has not implemented programs in developments covering at least 60% of its family occupied units.</p> <p>Component 2: Resident Organization Grade A: HA can document formal recognition or encouragement for formation. Grade F: HA cannot document.</p> <p>Component 3: Resident Involvement Grade A: Board provides for representation and HA has implemented measures that ensure regular input. Grade F: Board does not provide or HA has not implemented.</p> <p>Component 4 (Optional): Resident Programs Management Grade A: Meeting at least 90% of goals under all implementation plans. Grade F: HA cannot document meeting at least 60%.</p> |
| 8. | 1 | <p><i>Security - 4 Components</i></p> <p>Component 1: Tracking and Reporting Crime Grade A: Board has adopted policies and procedures and HA can document tracking on at least 90% of developments and has a cooperative system for tracking and reporting to local police. Grade F: Board has not adopted policies and HA has no policies or cannot document that it tracks crime in at least 60% of developments or that it reports to local police.</p> <p>Component 2: Screening of Applicants Grade A: Board has adopted and HA has implemented appropriate screening criteria and can document. Grade F: Board has not adopted nor HA implemented.</p> <p>Component 3: Lease Enforcement Grade A: Board has adopted and HA has implemented procedures for lease enforcement and can document. Grade F: Board has not adopted nor HA implemented.</p> <p>Component 4 (Optional): Grant Program Goals Grade A: HA can document achievement of 90% of goals in drug program implementation plans. Grade B: HA does not have a system to document or cannot document achievement of 60% of goals.</p> |

Grades A=10, B=8.5, C=7, D=5, E=3, F=0

90% or above: High Performer
Less than 60%: Troubled

60% to less than 90%: Standard Performer
Less than 60% in Indicator #2: Mod-Troubled

THE EIGHT INDICATORS

Indicator 1, Vacancy Rate and Unit Turnaround Time

- This indicator measures a HA's vacancy rate, progress in reducing vacancies and unit turnaround time. It combines Indicators 1 (Vacancy Percentage) and 5 (Unit Turnaround Time) of the previous rule. It is weighted x2.
- The indicator includes two components:
 - Component 1, Vacancy Rate and Progress in Reducing Vacancies, and
 - Component 2, Unit Turnaround Time.
- HAs that achieve a score of C or better in Component 1, Vacancy Rate and Progress in Reducing Vacancies, are not assessed on Component 2, Unit Turnaround.

Component 1, Vacancy Rate

- Three measures may be used to determine the score in Component 1, Vacancy Rate:
 - Actual vacancy rate;
 - Adjusted vacancy rate; or
 - A reduction the actual vacancy rate over the past three years.
- The indicator provides three categories of units that are exempted from any vacancy computations:
 - Units approved for non-dwelling use;
 - Employee occupied units; and
 - Vacant units approved by HUD for deprogramming.
- In addition, two categories of vacancy days may be exempted from the computation for the adjusted rate and turnaround time.

THE PHMAP

INDICATOR 1

2 COMPONENTS

COMPONENT 1

3 MEASURES

EXEMPTIONS

- Vacancy days for units in an approved , funded, on-schedule modernization program.
 - Vacancy days due to circumstances beyond the HA's control.
- Vacant, on-schedule modernization units are vacant units in an otherwise occupiable project that has received funding for modernization and for which:
 - It is expected that the vacant unit will be occupied on completion of modernization work;
 - The HA has a HUD-approved modernization schedule ; and
 - Modernization work in on-schedule.
 - Vacancy days that occur prior to a unit qualifying as a unit undergoing modernization and vacancy days that occur after construction work is complete may not be exempted . Similarly, if modernization work is delayed beyond the HUD approved schedule, vacancy days occurring after the time period for placing the unit under construction has passed may not be exempted.
 - Units vacant due to circumstances beyond the HA's control include units because of:
 - *Litigation.* Units that are required to remain vacant because of legally enforceable court litigation such as a court order or settlement agreement.
 - *Laws;* including laws which require that abandoned property be left in a unit for a specific period of time; laws which render a unit uninhabitable due to high/unsafe levels of hazardous/toxic materials.

INDICATOR 1

MORE

- *Changing market conditions* when the HA has made efforts to market the units and can document when the downturn in market conditions occurred, the likelihood that circumstances will change and why the market prevents the HA from improving, occupying, or divesting of the units.
- *Natural disasters* which have been identified by proclamation of the President or the Governor.
- *Insufficient CIAP funding* available to HAs with fewer than 250 units who have submitted approvable CIAP applications.
- *Casualty Losses* while resolution of an insurance claim or settlement is pending.
- Actual and Adjusted vacancy rates are calculated by dividing the number of vacancy days by the total number of days available for occupancy. This is a change from the approach of the previous rule which took a snapshot of the percentage of units vacant at one time during the year.
- Component 1 is weighted x2.

INDICATOR 1

$$\frac{\text{\# OF VACANCY DAYS}}{\text{\# OF DAYS AVAILABLE FOR OCCUPANCY}}$$

Component 2, Unit Turnaround Time

- Component 2 measures the average number of calendar days between the latter of the legal expiration date of the immediate past lease or the actual move-out date of the former tenant and the date the new lease takes effect. Component 2 is weighted x1.
- Only units which have been reoccupied are measured.
- There are three elements to unit turnaround time: down time; make ready time; and lease up time.

COMPONENT 2

Scoring

- A score must be calculated for each of the components individually before determining the overall grade and score for the indicator.
- Once each component has been rated, the scores for all the components in the indicator must be added together. The following chart shows how the scores from each of the components is added together to get the score for the indicator:

INDICATOR 1

SAMPLE SCORING FOR INDICATOR 1

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|-----------|----------|--------|--------|---|-----------------------|
| 1 | D | 5 | x2 | 10 | 20 |
| 2 | B | 8.5 | x1 | 8.5 | 10 |
| | | | | 18.5 points | 30 points |
| | | | | $(\text{Total HA pts} / \text{Total pts possible}) \times 10$ | |
| | | | | $(18.5/30) \times 10 = 6.2$ | |
| | | | | $6.2 = D$ | |

Data Collection and Documentation

- A computer generated or a manual vacancy log is necessary for tracking the data required for this indicator. To document vacancy days and unit turnaround, a HA must track for every unit:
 - The date it became vacant;
 - The date the new lease took effect.
- A HA should record the date the unit was made ready to be able to determine if delays have occurred in unit preparation or in leasing and to respond to component 2.

- A HA's calculation of vacancy days exempted because of modernization must be documented with evidence of:
 - Date unit vacated;
 - Date unit included in HUD-approved modernization budget;
 - Date unit released to contractor;
 - Date work completed by contractor and unit returned to HA;
 - Date new lease became effective.
- For units vacant due to circumstances beyond the HA's control the HA must document:
 - The specific conditions that are beyond the HA's control;
 - The date the unit was affected by the conditions;
 - Actions taken to eliminate or mitigate the conditions; and
 - The date the effect of the condition ended and the unit became an available unit.
- To certify that the HA has made progress in reducing vacancies in the past three years, the HA must be able to supply documentation to calculate the previous years' vacancies as a percentage of days available rather than as a percentage of units vacant.

INDICATOR 1

Indicator 2, Modernization

INDICATOR 2

- This indicator assesses the amount and percentage of funds obligated to public housing agencies under the modernization program which remain unexpended after three FFYs and the management of the modernization program. This indicator is weighted x1.5.
- This indicator has five components as before:
 - Unexpended Funds Over Three FFYs Old
 - Timeliness of Fund Obligation;
 - Adequacy of Contract Administration;
 - Quality of Physical Work; and
 - Adequacy of Budget Controls.

5 COMPONENTS

- The weighing of the components has been revised and is as follows:

Component 1: x1
 Component 2: x2
 Component 3: x1.5
 Component 4: x3
 Component 5: x1

INDICATOR 2

Component 1, Unexpended Funds Over Three FFYs Old

- To pass, a HA must have no unexpended funds over three FFYs old or demonstrate:
 - The unexpended funds are leftover funds and will be recaptured after the audit.
 - There are no unexpended funds past original HUD-approved implementation schedule deadline that allowed longer than three federal fiscal years, or
 - The HA extended the time within 30 calendar days after expenditure deadline based on reasons outside PHA's control such as unforeseen delays in contracting, litigation, or other non-PHA institutional delay.

COMPONENT 1

Component 2, Timeliness of Fund Obligation

- The HA must have no unobligated funds over two federal fiscal years old or demonstrate:
 - There are no unobligated funds past the original HUD-approved implementation schedule deadline that allowed longer than two federal fiscal years, or
 - The HA extended its time no more than 30 days after the obligation deadline for clearly documented reasons beyond the HA's control.

COMPONENT 2

Component 3, Adequacy of Contract Administration

- This component is based on HUD's latest on-site inspection and/or audit where a written report has been provided at least 75 calendar days before the end of the HA's fiscal year.
- Grades depend on whether there were HUD findings related to contract administration and whether the findings have been corrected.
- Grade A requires that there were no findings or that all findings have been corrected. Grade C requires that the HA is in the process of correcting all findings. Grade F results when a HA has failed to initiate appropriate action toward remedying all findings or those actions have not resulted in progress toward remedying all of the findings.

INDICATOR 2

COMPONENT 3

Component 4, Quality of Physical Work

- This component is based on HUD's latest on-site inspection where a written report has been provided at least 75 calendar days before the end of the HA's fiscal year.
- Grades depend on whether there were HUD findings related to the quality of physical work and whether the findings have been corrected.
- Grade A requires that there were no findings or that all findings have been corrected. Grade C requires that the HA is in the process of correcting all findings. Grade F results when a HA has failed to initiate appropriate action toward remedying all findings or those actions have not resulted in progress toward remedying all of the findings.

COMPONENT 4

Component 5, Adequacy of Budget Controls

- Only a pass or a fail grade (A or F) is possible on this component.

COMPONENT 5

- To pass, a HA must have expended modernization funds only on work items in HUD-approved budgets or has obtained prior HUD approval for required budget revisions.

Scoring

- The following chart shows how the scores from each of the five components are added together to get the score for Indicator 2:

INDICATOR 2

SAMPLE SCORING FOR INDICATOR 2

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|-----------|----------|--------|--------|---|-----------------------|
| 1 | A | 10 | x1 | 10 | 10 |
| 2 | A | 10 | x2 | 20 | 20 |
| 3 | C | 7 | x1.5 | 10.5 | 15 |
| 4 | C | 7 | x3 | 21 | 30 |
| 5 | A | 10 | x1 | 10 | 10 |
| | | | | 71.5 points | 85 points |
| | | | | $(\text{Total HA pts} / \text{Total pts possible}) \times 10$ | |
| | | | | $(71.5/85) \times 10 = 8.4$ | |
| | | | | $8.4 = C$ | |

Indicator 3, Rents Uncollected

- Indicator 3 measures the balance of rents due in the HA's fiscal year from residents in possession which the HA failed to collect during that year, as a percent of what was due. The most significant change from the previous rule is that collection loss is no longer deducted from rents uncollected.
- Indicator 3 is weighted x1.5.
- The calculation is straightforward: rents uncollected divided by total rents due equals the percent of rents uncollected.
- Charges and receipts in the following categories are excluded from the calculation:
 - Maintenance or utility charges, late fees or any charges other than rent.
 - Retroactive rent charges.

INDICATOR 3

ONLY RENT

- The HA may need to adjust its data collection system to separate charges and receipts for dwelling rent during the current fiscal year from all other amounts.
- The indicator from the previous rule which measured Tenant Accounts Receivable has been eliminated.

INDICATOR 3

Indicator 4, Work Orders

- Indicator 4 measures the time required to complete emergency and non-emergency work orders and is weighted x1.
- Any work order completed during the fiscal year is included, regardless of when it was received. Work orders that are outstanding at the end of the fiscal year are carried over until the next year.

INDICATOR 4

Component 1, Emergency Work Orders Completed within 24 Hours or Less

- Component 1 measures the percent of emergency work orders which were completed or for which the emergency condition was abated within 24 hours. The weight for this component is x1.
- Emergency work orders are items which endanger the life, health and/or safety of a resident or related to fire safety. Important work requests which do not fall within this definition can be given a designation of urgent or essential. (These work orders would be measured under component 2, non-emergency work orders).
- Abatement of the emergency condition means that, although the work was not completed, the threat the life, health or safety has been removed. In some instances, this might be accomplished by removing the resident from the unit.

COMPONENT 1

Component 2, Average Number of Days for Non-Emergency Work Orders to Be Completed

- The new rule has revised the approach to measuring an HA's performance in completing non-emergency work. The previous rule focused on work orders outstanding at the end of the fiscal year; the new rule divides the total calendar days for all non-emergency work orders completed during the year by the total number of those work orders.
- The weight of Component 2 is x2.
- Work orders generated in response to resident or staff reports of a repair need and preventive maintenance work orders are included in the non-emergency category. Work orders resulting from annual HQS inspections are considered response generated work orders and are counted for this indicator.
- Preventive maintenance work orders are those issued for scheduled maintenance procedures that are systematically performed at regular intervals to prevent premature deterioration of buildings and systems. Preventive maintenance work orders are distinct from cyclical work orders
- Cyclical work orders, work deferred for modernization and vacant unit preparation are not included in the non-emergency category.
- Cyclical work orders are those issued for normal day-to-day activities that are done in the same way at regular intervals generally in common areas. Examples are mopping hallways, grounds care tasks, cleaning gutters.

INDICATOR 4

COMPONENT 2

DO NOT INCLUDE
CYCLICAL WOS

- If the average work order turnaround time exceeds 40 days--the maximum for a grade of C--the HA may improve its score by showing that it has reduced the average time to complete non-emergency work during the past three years.
- A HA must have a work order system adequate to document performance within the standards of the indicator.
- A work order log is required which indicates the status of all work requests, including emergency and non-emergency classification.
- Information on work orders must also include:
 - Description of work and location;
 - Date and time request is received;
 - Date and time of assignment to staff;
 - Date and time work is completed;
 - Parts and cost of parts used;
 - Determination of charges resulting from resident damage.

INDICATOR 5

ADEQUATE WO
SYSTEM
IS NECESSARY

Scoring

- The following chart shows how the scores from each of the two components are added together to get the score for this indicator:

SAMPLE SCORING FOR INDICATOR 4

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|-----------|----------|--------|--------|--|-----------------------|
| 1 | C | 7 | x1 | 7 | 10 |
| 2 | C | 7 | x2 | 14 | 20 |
| | | | | 21 points | 30 points |
| | | | | (Total HA pts/Total pts possible) x 10 | |
| | | | | (21/30) x 10 = 7 | |
| | | | | 7 = C | |

Indicator 5, Annual Inspection of Units and Systems

- This indicator assess the percentage of dwelling units and building systems that an agency has inspected during the year using the local housing/occupancy code or HUD's Housing Quality Standard (HQS) whichever is more stringent.
- Indicator 5 has a weight of x1.

Component 1, Annual Inspection of Units

- Component 1 measures the percentage of units inspected to determine maintenance and modernization needs. Completion must include identifying repairs required to meet local code and/or HQS and either completing those repairs during the inspection, issuing a work order, or referring work items to the current or next year's modernization program.
- Component 1 has a weight of x1.
- Under the revised rule, completion of work orders resulting from an inspection is measured through Indicator 4, Work Orders and not as part of the annual inspections indicator.
- Referral to next year's modernization program is acceptable only when there are less than three months remaining in the current fiscal year when the inspection is conducted.
- The HA must maintain documentation to demonstrate the review made to determine whether local code or HQS is more stringent.
- Where there is no local code or if the local code is less stringent, the HA is required to use HQS.

COMPONENT 1

- The HA may expand upon local code requirements to include HQS in areas where the local code is less stringent than HQS.
- The HA must use an inspection form that adequately addresses the inspection standards used.

INDICATOR 5
(CONT'D)

- When local codes are used, the inspection form must directly reflect the standards of the local code.
- A local code enforcement form may be used; or
- The HA may develop a form that contains all criteria in the local code.
- The HA must use HUD Form 52580-A when HQS is the standard employed for inspections.
- Units are exempted from the calculation for this component under the following circumstances:

EXEMPTED UNITS



- Occupied units may be exempted when the HA has made two documented efforts to inspect and has taken appropriate legal action to ensure the unit can eventually be inspected.
- Units vacant for the full fiscal year may be exempted when they qualify under Indicator 1 as vacant units undergoing modernization or as uninhabitable because of:
 - Hazardous or toxic materials;
 - Order of the local health department or the Environmental Protection Agency;
 - Natural disaster; or
 - Structurally unsound conditions.
- Units must be inspected when they are:
 - Used for non-dwelling purposes;
 - Occupied by an employee;
 - Used for resident services.

Component 2, Annual Inspection of Systems

- Component 2 assesses the inspection of buildings and systems according to the HA's maintenance plan, including performing the required maintenance, issuing work orders, or including identified deficiencies in the modernization program for the current or next fiscal year. This component is weighted x1.
- Referral to next year's modernization program is acceptable only when there are less than three months remaining in the current fiscal year when the inspection is conducted.
- Maintenance on structures and systems must be completed in accordance with manufacturer's specifications and established local/HA standards.
- Systems are exempted from the indicator when they are part of dwelling units that are exempted or part of a building where all dwelling units are exempted.

Scoring

- To compute the overall score for Indicator 5, the scores from each of the two components must be added together as follows:

INDICATOR 5**COMPONENT 2****SAMPLE SCORING FOR INDICATOR 5**

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|------------------|-----------------|---------------|---------------|--|------------------------------|
| 1 | C | 7 | x1 | 7 | 10 |
| 2 | C | 7 | x1 | 7 | 10 |
| | | | | 14 points | 20 points |
| | | | | (Total HA pts/Total pts possible) x 10 | |
| | | | | (14/20) x 10 = 7 | |
| | | | | 7 = C | |

Indicator 6, Financial Management

- Indicator 6 measures a HA's ability to adequately manage its financial affairs and is weighted x1.
- The first component of this indicator measures cash reserves as a percentage of routine expenses. If cash reserves are below 10% of actual routine expenditures--the minimum for a C grade--the HA's energy consumption will be assessed.

INDICATOR 6

Component 1, Cash Reserves

- This component measures unrestricted cash to determine whether the HA has managed its financial affairs in a manner to maintain adequate liquidity and is weighted x2.
- Unrestricted cash is determined through adjustments to Current Assets.
 - Funds restricted for specific purposes are excluded. These include funds set aside for security deposits, funds pooled in the General Fund from modernization programs, escrow accounts, and Turnkey III home-buyer reserves.
 - Short-term receivables such as Accounts Receivable expected to be paid within 30 days after the fiscal year end are added.
 - Accounts Payable within 30 days of the fiscal year end and any other funds the HA will be obligated to pay out shortly are subtracted from Current Assets.
- The amount of Total Routine Operating Expenses is taken from line 520 of the Statement of Operating Receipts and Expenditures, HUD Form 52599.

COMPONENT 1

- The component score is determined by dividing the unrestricted cash reserve at the end of the year by the actual routine operating expense for the year.

Component 2, Energy Consumption

INDICATOR 6

- Component 2 reviews energy consumption in one of two approaches;
 - Option A determines whether or to what degree annual energy/utility consumption expense has increased over the average of a three year rolling base.
 - Option B considers whether the HA has conducted or updated an energy audit within the past five years and is on schedule with an implementation plan based on available funds.
- If all dwelling units have tenant paid utilities, the HA is not scored on Component 2, regardless of its score on Component 1.
- The score under Option A is calculated using consumption expenses shown on form HUD - 52722B for the current year and the three rolling base years.
- Modifications may be possible if large consumption increases are due to the addition of new lighting or other utility consuming facilities.
- Option A offers grades of A-F. For an A grade, there must be no increases in expenses compared to the average of the three federal fiscal year rolling base. A grade of C required that expenses not exceed 5% of the rolling base. If expenses increased more than 9%, compared to the rolling base, a grade of F will be assigned.

COMPONENT 2

OPTION A

OPTION B

- Option B offers a grade of A, C or F. For an A grade, the HA must have completed or updated an energy audit within the past five years and must have implemented all of the recommendations that were cost effective. A C grade requires an implementation plan, identifying the cost, anticipated funding source and completion date for all audit items based on available funds and progress within the established schedule for that plan.
- Component 2 is weighted x1.

INDICATOR 6

Scoring

- The following chart shows how the scores from each of the two components are added together to get the score for this indicator:

SAMPLE SCORING FOR INDICATOR 6

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|-----------|----------|--------|--------|---|-----------------------|
| 1 | C | 7 | x2 | 14 | 20 |
| 2 | C | 7 | x1 | 7 | 10 |
| | | | | 21 points | 30 points |
| | | | | $(\text{Total HA pts} / \text{Total pts possible}) \times 10$ | |
| | | | | $(21/30) \times 10 = 7$ | |
| | | | | $7 = C$ | |

Indicator 7, Resident Services and Community Building

INDICATOR 7

4 COMPONENTS

- This indicator has four components. It measures the economic up-lift/self-improvement programs a HA has implemented, performance of those programs, the degree residents are provided the opportunity for representation and comment, and the HA's performance in meeting goals of HUD-funded resident programs.
- Indicator 7 is weighted x1.
- HAs with less than 250 units or with 100 % elderly housing will not be assessed under Indicator 7 unless they ask to be at the time the PHMAP certification is submitted.

Component 1, Economic Uplift and Self-Improvement

COMPONENT 1

- Examines HA management of HUD funded programs.
- The HA may ask to be assessed for all programs it has implemented through partnerships whether or not HUD funds are involved or only for HUD-funded programs.
- The qualifying programs may be administered directly or through partnerships with non-HA providers but the HA must monitor performance under the programs and issue reports on progress including the number of residents receiving services and the number of residents employed through these programs.
- For an A or a C grade in this Component, HA must have formally adopted by resolutions and implemented one or more economic uplift or self-improvement programs in an area or activity such as: Section 3, homeownership, resident education, training, child-care, job-placement, or Head Start. This component is weighted x1.

- An A grade is earned with the qualifying programs are active at developments covering at least 90% of the HA's family occupied units; a C grade is earned when the programs are available at developments covering at least 60% of the family occupied units.

INDICATOR 7

Component 2, Resident Organization

- Examines HA's recognition of and efforts to support and work with Resident organizations.
- For an A grade, a HA must be able to document its formal recognition of a system for communication, collaboration and support of resident councils. Where no council exists, HA must be able to document its encouragement of the formation of such councils.
- A grade of F will be received if the HA cannot provide documentation of communication systems or support.
- This component is weighted x1.

COMPONENT 2

Component 3, Resident Involvement

- This component assesses the level of resident involvement in planning and activities which affect the quality of life in HA housing developments. Under this component, the HA receives credit for ensuring that residents are represented on the Board of Commissioners and committees.
- It also measures the number of **quality of life and management condition areas** in which residents have regular input, including but not limited to:
 - modernization and development
 - screening and other occupancy matters
 - relocation
 - the operating budget
 - resident programs
 - security
 - maintenance

COMPONENT 3

INDICATOR 7

- For a grade of A or C, a HA must document that the Board, by resolution, has resident representation, that the HA has implemented measures to ensure the opportunity for regular resident input into plans and the evaluation for ongoing quality of life and housing management conditions.
- For a grade of A, residents must have input into all the quality of life areas listed above.
- For a grade of C, residents must have input into modernization and development and at least **three** of the six quality of life areas listed above.
- If HA did not provide for resident representation by resolution, or has not implemented measures for regular input, a grade of F will be assigned.
- This component is weighted x1.

Component 4, Resident Programs Management

COMPONENT 4

- The HA will be assessed on its performance in meeting its goals under all HUD-funded programs which benefit the residents.
- HAs can select to be assessed on all programs (including non-HUD funded programs) or only on HUD funded programs.

HUD funded programs include but are not limited to the following programs:

- Family Investment Center (FIC),
 - Youth Sports,
 - Food Banks,
 - Health Clinics,
 - Youth Apprenticeship Program,
 - Family Self-Sufficiency, or
 - Resident Management or Tenant Opportunity Programs (TOP), etc.
- For a grade of A, a HA must be able to document that it is meeting at least 90% of its goals under the implementation plan(s) for programs including those listed above.

- This component is weighted x1.
- For a grade of C, an HA must document that it is meeting 60% of its goals. If the HA cannot document that it is meeting at least 60% of its goals, a grade of F will be assigned.

INDICATOR 7

Scoring

- To compute the overall score for Indicator 7 , the scores of the 4 components must be added together as follows:

SAMPLE SCORING FOR INDICATOR 7

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|--------------|----------|--------|--------|---|-----------------------|
| 1 | A | 10 | x1 | 10 | 10 |
| 2 | A | 10 | x1 | 10 | 10 |
| 3 | C | 7 | x1 | 7 | 10 |
| 4 (Optional) | C | 7 | x1 | 7 | 10 |
| | | | | 34 points | 40 points |
| | | | | $(\text{Total HA pts} / \text{Total pts possible}) \times 10$ | |
| | | | | $(34/40) \times 10 = 8.5$ | |
| | | | | 8.5 = B | |

Indicator 8, Security

- This new indicator has four components and is weighted x1. It measures the HA's ability to track crime, its cooperative reporting arrangements, whether it has implemented an adequate applicant screening system, its implementation of lease enforcement requirements, and its ability to meet goals in drug prevention or crime reduction programs.
- This indicator applies to HAs with 250 units or more, HAs with less than 250 units may request scoring for this indicator.

Component 1, Tracking and Reporting Crime Related Problems

- For an A grade, a HA must have formally adopted and implemented policies and procedures concerning crime related problems. The HA must show that it (1) tracks crime and crime-related problems at its developments, and (2) has a cooperative system for tracking and reporting incidents of crime to local authorities to improve law enforcement and crime prevention.

INDICATOR 8**COMPONENT 1**

- For a grade of C, a cooperative system for tracking is not required, but the HA is required to report incidents of crime to local authorities. If the HA has not adopted policies or implemented procedures, or cannot document that it tracks crime at a minimum of 60% of its developments or reports crime to local police, a grade of F will be assigned.

INDICATOR 8

- This component has a weight of x1.

COMPONENT 2

Component 2, Screening of Applicants

- This component measures whether a HA has formally adopted applicant screening policies and procedures and can document that it denies admission to a public housing applicant who:
 - has a recent history of criminal activity involving crime to persons or property,
 - was evicted because of drug-related activity from assisted housing within the last three years, unless the applicant has successfully completed a rehabilitation program approved by the HA,
 - the HA has reason to believe is illegally using a controlled substance, OR
 - the HA has reason to believe abuses alcohol.
- For a grade of A, HA must have formally adopted screening policies and implemented procedures, and can document that it denies admission to applicants who meet above criteria: A HA will receive a grade of C if it had adopted policies, implemented procedures but **cannot** document that it denies admission to applicants in above categories. If a PHA has not adopted policies or implemented procedures or is not successful in denying admission to applicants meeting above criteria.

- This component has a weight of x1.

Component 3, Lease Enforcement

- This component measures whether a HA has formally adopted policies and implemented procedures to evict residents who the HA has reasonable cause to believe:
 - engage in criminal activity;
 - engage in drug-related criminal activity;
 - abuse alcohol.
- This component has a weight of x1.

INDICATOR 8

COMPONENT 3

Component 4, Grant Program Goals

- Examines HA management of HUD funded programs.
- The HA may ask to be assessed on all public safety and security programs, or just the HUD-funded programs.
- For a grade of A, HA must have formally adopted policies and implemented procedures and can document that it evicts residents who meet above criteria. For a grade of C, PHA had adopted /implemented policies and procedures but **cannot** document that it evicts residents who meet above criteria. If a PHA has not adopted/implemented policies/procedures or is not successful in evicting residents who meet above criteria.
- This component measures whether the HA has established drug prevention or crime reduction goals and can document that it is meeting goals under its plan(s).
- This component has a weight of x1.

COMPONENT 4

Scoring

- To compute the overall score for Indicator 8 , the scores of the 4 components must be added together as follows:

INDICATOR 8

SAMPLE SCORING FOR INDICATOR 8

| Component | HA Grade | Points | Weight | HA Total Points | Total Points Possible |
|--------------|----------|--------|--------|---|-----------------------|
| 1 | A | 10 | x1 | 10 | 10 |
| 2 | C | 7 | x1 | 7 | 10 |
| 3 | C | 7 | x1 | 7 | 10 |
| 4 (Optional) | A | 10 | x1 | 10 | 10 |
| | | | | 34 points | 40 points |
| | | | | $(\text{Total HA pts} / \text{Total pts possible}) \times 10$ | |
| | | | | $(34/40) \times 10 = 8.5$ | |
| | | | | $8.5 = B$ | |

WEIGHT FACTORS AND MAXIMUM PHMAP POINTS

| Number | Indicator/Component | Weight Factors | Total Component Points | Maximum PHMAP Points |
|---------------|--|-----------------------|-------------------------------|-----------------------------|
| 1 | Vacancy Rate and Unit Turnaround Time | x2 | - | 20 |
| | - Vacancy % and Progress in Reducing in Last Three Years | x2 | 20 | - |
| | - Unit Turnaround Time | x1 | 10 | - |
| 2 | Modernization | x1.5 | - | 15 |
| | - Unexpended funds over three years old | x1 | 10 | - |
| | - Timeliness of fund obligation | x2 | 20 | - |
| | - Contract administration | x1.5 | 15 | - |
| | - Quality of the physical work | x3 | 30 | - |
| | - Budget controls | x1 | 10 | - |
| 3 | Rents Uncollected | x1.5 | - | 15 |
| 4 | Work Orders | x1 | - | 10 |
| | - Emergency Work Orders | x1 | 10 | - |
| | - Non-emergency Work Orders and Progress during past three years | x2 | 20 | - |
| 5 | Annual Inspection of Units and Systems | x1 | - | 10 |
| | - Annual Inspection of Units | x1 | 10 | - |
| | - Annual Inspection of Systems | x1 | 10 | - |
| 6 | Financial Management | x1 | - | 10 |
| | - Cash Reserves | x2 | 20 | - |
| | - Energy Consumption | x1 | 10 | - |

| Number | Indicator/Component | Weight Factors | Total Component Points | Maximum PHMAP Points |
|---------------|--|-----------------------|-------------------------------|-----------------------------|
| 7 | Resident Services and Community Building | x1 | - | 10 |
| | - Economic Lift (HUD funded programs) | x1 | 10 | - |
| | - Resident Organization | x1 | 10 | - |
| | - Resident Involvement | x1 | 10 | - |
| | - Resident Programs Management (HUD funded programs) | x1 | 10 | - |
| 8 | Security | x1 | - | 10 |
| | - Tracking and Reporting Crime | x1 | 10 | - |
| | - Screening of Applicants | x1 | 10 | - |
| | - Lease Enforcement | x1 | 10 | - |
| | - Grant Program Goals (HUD funded programs) | x1 | 10 | - |

CERTIFICATION AND CONFIRMATION OF SCORES

- Form HUD-50072, PHMAP Certification, must be submitted by HAs to State/Area Office within 60 days of the close of the fiscal year.
- Form must be approved by HA Board and signed and attested to by Executive Director.
- HAs must certify to all data for all PHMAP indicators except Indicator 2.
- Certification must indicate development(s) managed by AMEs/RMCs.
- AMEs and RMCs must certify to same information as HAs if its contract provides authority for functions covered by the indicator(s).
- Only Indicator 2, Modernization, will be scored by HUD.

HA

Adjustments to PHMAP Scores for Indicators 1, 4, and 5

- HAs may request adjustment to their score on indicators 1, 4 and 5 on the basis of physical condition and/or environmental factors if **5% or more of units** meet one or both categories:
 - *Physical Condition:*
Units located in developments over ten years old that require capital investment in order to meet local codes or minimum HQS standards, whichever is applicable.
 - *Neighborhood Environment:*
Units in developments where immediate surrounding neighborhood has at least 51% of families with incomes at poverty rate as documented by latest census. A majority of census tracts or block groups on all sides of development must meet this criteria to qualify.

PHYSICAL
CONDITION/
NEIGHBORHOOD
ENVIRONMENT
ADJUSTMENTS

- Units in developments which received substantial rehabilitation in past ten years are not eligible.
- If only certain units or developments received substantial rehab, the adjustment shall be prorated to cover the remaining units/developments.
- HA must retain supporting documentation showing **how the number and percentage of units was derived for the adjustment.**

ADJUSTMENT TO

- For adjustments due to **Neighborhood environment:**

Appropriate maps showing census tracts or block groups surrounding the development(s) with the **supporting census data** showing level of poverty must be on file.

- For adjustments due to **Physical condition:**

Documentation **showing age and condition** of the units and a **record of capital improvements**, indicating units that have not received modernization funds must be on file.

SAMPLE HA UNADJUSTED SCORING REPORT

| Indicator | HA Grade | Score | Weight Factor | HA Total Points | Total Possible |
|-----------|----------|-------|---------------|-----------------|----------------|
| 1 | D* | 6.2 | 2 | 12.4 | 20 |
| 2 | C* | 8.4 | 1.5 | 12.6 | 15 |
| 3 | B | 8.5 | 1.5 | 12.75 | 15 |
| 4 | C* | 7.0 | 1 | 7.0 | 10 |
| 5 | C* | 7.0 | 1 | 7.0 | 10 |
| 6 | C* | 7.0 | 1 | 7.0 | 10 |
| 7 | B* | 8.5 | 1 | 8.5 | 10 |
| 8 | B* | 8.5 | 1 | 8.5 | 10 |
| | | | | 75.75 | 100 |

* These grades are determined by summing each of the individual components first.

SAMPLE HA (ADJUSTED) SCORING REPORT**

| Indicator | HA Grade | Score | Weight Factor | HA Total Unadjusted Points | Total Possible | Adjusted Points | HA Total Adjusted Points |
|-----------|----------|-------|---------------|----------------------------|----------------|-----------------|--------------------------|
| 1 | D* | 6.2 | 2 | 12.4 | 20 | .7 | 13.1 |
| 2 | C* | 8.4 | 1.5 | 12.6 | 15 | | |
| 3 | B | 8.5 | 1.5 | 12.75 | 15 | | |
| 4 | C* | 7.0 | 1 | 7.0 | 10 | .7 | 7.7 |
| 5 | C* | 7.0 | 1 | 7.0 | 10 | .7 | 7.7 |
| 6 | C* | 7.0 | 1 | 7.0 | 10 | | |
| 7 | B* | 8.5 | 1 | 8.5 | 10 | | |
| 8 | B* | 8.5 | 1 | 8.5 | 10 | | |
| | | | | 75.75 | 100 | 2.1 | 77.85 |

* These grades are determined by summing each of the individual components first.

** This HA has opted to adjust its scores for Indicators 1, 4 & 5 and has determined that at least 20% but less than 30% of its units are difficult to manage as a result of their physical condition.

WEIGHT OF INDICATORS, OVERALL SCORING AND SCORING REPORT

Scoring Report and State/Area Office Requirements

- State/Area Office will assess each HA **annually** and make **determinations for status** based upon the HA's weighted score.
- State/Area Office will notify each HA in writing , within 60 days of receipt of certification, of the:
 - HA's grade for each indicator;
 - If applicable, the AME/ RMC's grade for each indicator;
 - HA's overall weighted score and status;
 - If applicable, the adjustment for physical condition and neighborhood environment;
 - If applicable, any determinations regarding exemptions or modifications; and
 - The deadline for appeals.

HUD NOTIFICATION

The notification letter should also include:

- Offers of technical assistance in problem areas;
 - Suggestions for means of improving problem areas; and/or
 - Areas of relief and incentives for high performers.
- HUD will publish the score and status of all HAs in the *Federal Register*.
 - HAs must notify the RMC in writing immediately upon the receipt of the State/Area Office notification letter.
 - Within two weeks of receiving its final PHMAP score, HAs must post scores in a conspicuous and accessible place for public review.

Designations

- There are five possible designations based upon a HA's PHMAP score:
 - **high performer** - a total PHMAP score of 90% or greater with no single indicator with a score below C.
 - **mod high performer** - a total overall PHMAP score of 90% or greater and on indicator 2.
 - **standard performer** - a total PHMAP score of less than 90% but at least 60%.
 - **troubled** - a total PHMAP score of less than 60%.
 - **mod-troubled** - a score of less than 60% on indicator 2, modernization.

DESIGNATIONS

Modifications, Exemptions, and Appeals

- HAs may request exclusion or modification of an indicator or a component at the time of the certification submission. Supporting documentary information must also be submitted at that time or the request will not be considered.

Appeals of Indicator Grades and/or PHMAP Scores

- HAs may appeal their PHMAP score, or troubled or mod-troubled designation to the State/Area HUD Office on the basis of:
 - data errors;
 - the denial of exclusion or modification requests when their denial affects the HA's total weighted score;
 - the denial of an adjustment based upon physical condition or neighborhood environment; or

- a determination of intentional false certification.
- If initial appeal is denied by State/Area Office , appeal may be made to the Assistant Secretary for Public and Indian Housing for the following reasons:
 - initial appeals denying high performer status;
 - denial of appeal of a determination of intentional false certification;
 - data errors;
 - denial of exclusion or modification request when denial affects HA's total weighted score;
 - denial of adjustment for physical condition or neighborhood environment; or
 - refusal of a petition of in accordance of 901.140 to remove designation of troubled or mod-troubled.

| |
|---------------------------------|
| <p>APPEALS OF INDICATOR</p> |
|---------------------------------|

TIMETABLE FOR PHMAP SUBMISSION

| | | | | |
|-----------------------------|------------------------|------------------------|------------------------|------------------------|
| HA Fiscal Year Ends | 03/31/97 | 06/30/97 | 09/30/97 | 12/31/97 |
| Assessment Period | 04/01/96 - 03/31/97 | 07/01/96 - 06/30/97 | 10/01/96 - 09/30/97 | 01/01/97 - 12/31/97 |
| Certification Due | 05/30/97 | 08/29/97 | 12/1/97* | 03/2/98** |
| HUD Notification Letter Due | 07/29/97 | 10/28/97 | 01/27/98 | 04/28/98 |
| Appeal Deadline | 08/13/97 | 11/12/97 | 02/11/98 | 05/13/98 |

* When a due date falls on a weekend or holiday it is moved ahead to the next working day.

Change of Score

- A HA's overall PHMAP score, or individual indicator(s) or component(s) scores may be changed under the following circumstances:
 - If the HA requests an appeal, provide s adequate justification/documentation and appeal is upheld by HUD;
 - If the HA cannot provide justifyin g documentation to HUD du ring the conduct of a confirmatory review or other verificatio n review for any indicator(s) or component(s) certified to;
 - If the data for any indicator/component cannot be verified during any kind of confirmatory or verification review that wa s certified to by the HA;
 - If applicable, a HA's PHMAP score may b e changed by the State/Area Office pursu ant to the data included in the independent audi t report.
- In **exceptional circumstances**, even though a HA has satisfied all the criteria for the standard or high performer designation, the State/Area Office may also conduct any review as necessary and **deny or rescind incentives or high performer** status in the case of a HA that:
 - Is operating under special agreement wit h HUD;
 - Is involved in litigation that bears directly on the management of the HA;
 - Is operating under a court order;
 - Demonstrates substantial evidence of fraud or misconduct, including evidence that HA's certification of indicators is not supported by the facts; or

CHANGING THE

- Demonstrates substantial noncompliance in one or more areas including areas NOT assessed under PHMAP.
- State/Area Offices which change a HA's score based upon the above special circumstances must send written notice to the HA with a specific explanation of the reasons for the action. A copy of this correspondence must also be submitted to the Assistant Secretary for Public and Indian Housing.

CHANGE OF SCORE

Confirmatory Reviews

- An on-site confirmatory review of a HA may be conducted by State/Area Office.
- A confirmatory review **is required by State/Area Office** under the following circumstances:
 - When a HA with 100 or more units receives scores less than 60% for its total weighted score, or less than 60% for indicator 2, modernization **before** initially designating the HA as troubled or mod-troubled;
 - When HA is **already designated as troubled or mod-troubled** [annual confirmatory review required]; or
 - **Prior to removal of a designation as troubled or mod-troubled** for any HA managing 100 or more units.
- Independent confirmatory review by a review team comprised of representatives from other State/Area Offices is required of troubled HAs with 1250 or more units prior to removal of its designation as troubled.

MANDATORY CONFIRMATORY REVIEWS

Incentives for High Performance

- High or standard performers will be **relieved of some specific HUD requirements** upon formal notification of designation.

INCENTIVES

- High performing HAs and RMCs that receive a grade of A on each indicator will receive a **Certificate of Commendation** from HUD, and special public recognition.
- High performers may be requested to serve on Departmental working groups regarding improvement for troubled HAs.
- State/Area Offices may award incentives to HAs for specific reasons.

INCENTIVES FOR

Options for Various HUD Interventions for Troubled HAs

- Possible interventions:
 - providing technical assistance for HA staff;
 - selecting or participating in selection of AME to provide TA or other services including the contract management of one or more developments;
 - assuming possession and operational responsibility for all or any part of public housing administered by a HA; and
 - the provision of intervention and assistance necessary to remedy emergency conditions.
 - any combination of above remedies sequentially or simultaneously.
- HA is required to determine interest of residents in any process to solicit proposals from AMEs to manage HA housing or organizations which represent 20% of residents.

POSSIBLE

Receivership

- Upon declaration of substantial default, HUD may petition court for appointment of receiver to conduct affairs of HA.

Technical Assistance (TA)

- HUD may provide TA to a HA that is:
 - in substantial default;
 - designated as troubled or non-troubled if assistance will enable HA to achieve satisfactory performance on any PHMAP indicator. HA must demonstrate commitment to undertake improvements and execute an improvement plan.
 - projected to become troubled by next PHMAP assessment without TA which will help to abate condition(s);
 - in substantial default of ACC; or
 - no longer designated as troubled but where such assistance is necessary to ensure that HA will not become troubled again within next two years.
- Benefits of good performance:
 - Better property management due to increased operational attention on critical management functions measured by PHMAP.
 - Increased interaction and support by residents.
 - Readily available data about the HA to assist local decisions makers in planning activities.

HUD
TECHNICAL

PHMAP SOURCES OF DOCUMENTATION

Indicator 1 - Vacancy Rate and Unit Turnaround Time

- Rent Roll
- Form HUD-51234, Report on Occupancy
- Modernization Logs
- Modernization Implementation Schedules
- Maintenance Records on Make-Ready Time
- Demolition, Disposition, Conversion Records
- Development Data/Previous Modernization Programs
- Form HUD-52295, Tenant Accounts Receivable Report
- Form HUD-52564, Operating Budget
- Form HUD-50058, Family Report
- PHMAP Worksheets
- Vacancy Log
- HUD Approval of Non-Dwelling Units
- PHA unit turnaround reports.

Indicator 2 - Modernization

- Form HUD-52825, CIAP Budget/Progress Report
- Form HUD- 52837, CGP Annual Statement
- Form HUD-53001, Modernization Cost Certificate (CIAP)
- Form HUD-52839, Modernization Cost Certificate (CGP)
- LOCCS Obligation and Expenditure Data
- Revised Implementation Schedules
- Minutes of HA Board Meetings
- Internal Memos/Letters
- HUD Approved Original Implementation Schedule
- HUD 52585 Part III (CIAP)
- HUD Inspection Letters Identifying Fundings
- HAs Response Letters that Address Fundings
- HUD Approved CIAP/CGP Budgets or Revisions

Indicator 3 - Rents Uncollected

- Rent Rolls for 12 months
- General Ledger 3110 Account
- Form HUD-52599
- Form HUD-52595 (Balance Sheet)

Indicator 4 - Work Orders

- Work Order Log and Work Orders
- Modernization Records
- DOFA Dates

Indicator 5 - Annual Inspection of Units and Systems

- PM Inspection Schedules
- Inspection Forms
- Inspection Log
- Vacancy Data
- Modernization Records
- Local Code
- Eviction Data
- Same Source Documents for Indicator 1
- Manufacturers' Specifications

Indicator 6 - Financial Management

- Form HUD-52599 Statement of Operating Receipts and Expenditures
- Form HUD-52722B Adjustment for Utility Consumption and Rates
- Form HUD-52723 Calculation of RFPs
- Initial Energy Audit or Update
- Implementation Plans

Indicator 7 - Resident Services and Community Building

- Board Resolutions
- Informational Brochures which list activities at various developments
- Agreements with Service Providers
- Posters, Leaflets, etc. outlining available programs
- Minutes of meetings with residents and resident groups
- Evidence of HA sponsorship of resident training elections and HA staff assigned to community organizing efforts
- Minutes of public hearings and notices posted
- Letters from residents
- Minutes from resident organization meetings
- Grant program budgets and implementation plans
- Monthly program cost statements
- Lists of attendees at various programs
- Program Performance Reports

Indicator 8 - Security

- Board Resolution
- Minutes of Board meetings
- Methodology for tracking crime
- Evidence of cooperation with local police
- Statistical reports from local police on crimes reported by HA
- Policies that encourage/require HA staff to report crime
- Copies of communications from HA to local police concerning criminal activity on HA property
- Copies of HA communications to residents encouraging the reporting of crime
- Admissions and Occupancy Policy and implementing procedures
- HA Housing Application
- Applicant Files
 - Police record checks
 - Home visits
 - Letters of rejection
- Interviews which verify that HA is appropriately screening applicants
- Internal HA reports which indicate number of applications received, approved, rejected and reasons for rejection
- Lease agreement
- Copies of eviction notices
- Copies of court judgements
- Warning letters issued to residents
- Reports outlining for-cause evictions
- Security-related grant program implementation plans
- Monthly program cost statements
- Lists of attendees at various programs
- Program Performance Reports
- Documentation needed for additional adjustment for indicators #1, #4 and #5
- Census data
- Modernization records
- Project information, ie, years built, etc.